

PTOL-413A (04-09)  
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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

## Applicant Initiated Interview Request Form

Application No.: 10/753,069 First Named Applicant: Weber  
Examiner: Linda Perry Art Unit: 3695 Status of Application: Pending

### Tentative Participants:

(1) Michael Stimson (2) Linda Perry  
(3) Charles Kyle (4) \_\_\_\_\_

Proposed Date of Interview: May 26, 2009 Proposed Time: 1pm Eastern AM/PM

### Type of Interview Requested:

(1) ☒ Telephonic (2) ☐ Personal (3) ☐ Video Conference

Exhibit To Be Shown or Demonstrated: ☐ YES ☒ NO

If yes, provide brief description: \_\_\_\_\_

### Issues To Be Discussed

Issues (Rej., Obj., etc)	Claims/ Fig. #s	Prior Art	Discussed	Agreed	Not Agreed
(1) <u>Rej. 101, 112</u>	<u>All claims</u>	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) <u>Rej. 102</u>	<u>1-3, 10</u>	<u>Dembo</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) <u>Rej. 103</u>	<u>All claims</u>	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Continuation Sheet Attached

### Brief Description of Argument to be Presented:

Dembo does not anticipate because it does not teach proxy or hedging portfolios that model a fund and using a proxy  
or hedging portfolio in order to avoid public disclosure of a fund's holdings. The invention would not have been obvious  
as evident from the Baker declaration and the industry accolades showing strong secondary indicia of nonobviousness.

An interview was conducted on the above-identified application on \_\_\_\_\_.

NOTE: This form should be completed by applicant and submitted to the examiner in advance of the interview (see MPEP § 713.01).

This application will not be delayed from issue because of applicant's failure to submit a written record of this interview. Therefore, applicant is advised to file a statement of the substance of this interview (37 CFR 1.133(b)) as soon as possible.

Michael J. Stimson  
Applicant/Applicant's Representative Signature  
Michael J. Stimson  
Typed/Printed Name of Applicant or Representative  
45429

Charles R. Perry  
Examiner/SPE Signature

Registration Number, if applicable \_\_\_\_\_

This collection of information is required by 37 CFR 1.133. The information is required to obtain or return a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22311-1450. 10/1/2007. SEND FEE OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22311-1450. If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.